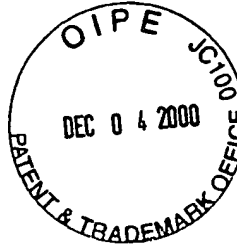


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FAX 202.662.6291 BRUSSELS  
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PAUL J. BERMAN  
TEL 202.662.5468  
FAX 202.778.5468  
PBERMAN COV.COM



December 4, 2000

## ***Box Missing Parts***

Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Utility Application  
Appl. No. 09/638,954; Filed: August 16, 2000  
For: **Open-Architecture system for Real-time Consolidation  
of Information From Multiple Financial Systems**  
Inventors: Cathy C. **NORTHINGTON** and Louis J. **GOODSON**  
Our Ref: 16762.093A.US02

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Response to Notice to File Missing Parts of Application (in duplicate);
2. Copy of Notice to File Missing Parts of Nonprovisional Application;
3. Form PTO-1083 (in duplicate);
4. Second Preliminary Amendment;
5. Return postcard; and
6. Our Check No. 272283 for \$1,002.00 to cover:

\$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)  
\$162.00 extra claim fee (37 C.F.R. § 1.16)  
\$130.00 late filing surcharge fee (37 C.F.R. § 1.16).

It is respectfully requested that the attached postcard be stamped with the filing date of these documents and returned to our courier.

**COVINGTON & BURLING**

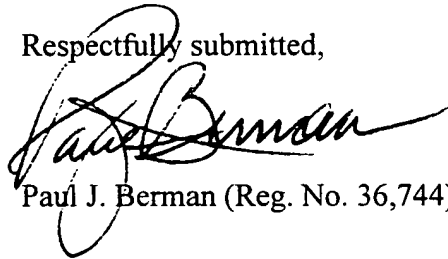
Commissioner for Patents

December 4, 2000

Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. A duplicate copy of this letter is enclosed.

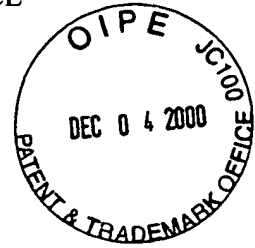
Respectfully submitted,

A handwritten signature in black ink, appearing to read "Paul J. Berman", written over a horizontal line.

Paul J. Berman (Reg. No. 36,744)

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re application of:  
Cathy C. NORTINGTON and  
Louis J. GOODSON

Art Unit: 2161

Appl. No. 09/638,954

Examiner: Unassigned

Filed: August 16, 2000

Attorney Docket: 16762.093A.US02

For: Open-Architecture System for Real-  
time Consolidation of Information from  
Multiple Financial Systems

**Response to Notice to File  
Missing Parts of Application**

Commissioner for Patents  
Washington, D.C. 20231  
**ATTN: Box Missing Parts**

Sir:

In response to the **Notice to File Missing Parts of Application--Filing Date**  
**Granted** dated October 3, 2000, Applicants submit the following documents for appropriate  
action by the U.S. Patent and Trademark Office:

- ☒ Copy of the Notice to File Missing Parts;
- ☒ Form PTO-1083 (in duplicate);
- ☒ Second Preliminary Amendment;
- ☒ Return postcard; and
- ☒ Our Check No. 272283 for \$1,002.00 to cover:

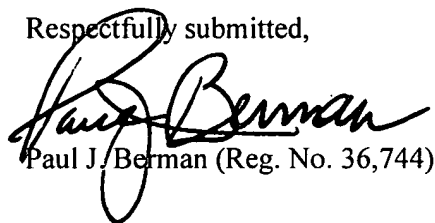
\$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)  
\$162.00 Fee for excess claims (37 C.F.R. § 1.16)  
\$130.00 late filing Surcharge.

It is respectfully requested that the attached postcard be stamped with the date of  
filing of these documents, and that it be returned to our courier.

Cathy C. **NORTHINGTON**  
and Louis J. **GOODSON**  
Appln. No. 09/638,954

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. A duplicate copy of this Response is enclosed.

Respectfully submitted,

  
Paul J. Berman (Reg. No. 36,744)

(December 3, 2000 = **Sunday**)  
December 4, 2000 = **Monday**

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1201 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004-2401  
(202) 662-6000

(3)



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/638,954	08/16/2000	Cathy C. Northington	16762.093A

Andrea G Reister  
Covington & Burling  
1201 Pennsylvania Avenue NW  
Washington, DC 20004-2401



## FORMALITIES LETTER



\*OC000000005445751\*

Date Mailed: 10/03/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 820.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/05/2000 HND0R1 00000077 09638954

01 FC:101	710.00 OP
02 FC:105	130.00 OP
03 FC:103	162.00 OP

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Washington, D.C. 20004-2401  
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FORM PTO-1083

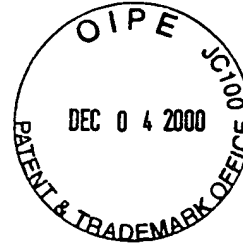
Attorney Docket No. 16762.093A.US02

In re application of Cathy C. NORTHINGTON and Louis J. GOODSON  
Appl. No. 09/638,954

Filed: August 16, 2000

For: **Open-Architecture System for Real-Time Consolidation  
of Information from Multiple Financial Systems**

THE ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231



Sir:

Transmitted herewith is an amendment in the above-identified application.

- Small entity status of this application under 37 CFR §§ 1.9 and 1.27 has been established by a statement previously submitted.
- A statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- No additional claim fee is required.

The claim fee has been calculated as shown below:

(Col. 1)		(Col. 2)		(Col. 3)	SMALL ENTITY		O r	OTHER THAN A SMALL ENTITY	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Addit. Fee		Rate	Addit. Fee
Total Claims	* 29	MINUS	** 20	= 9	x 9 =	\$ 00.00		9 x 18 =	\$ 162.00
Indep. Claims	* 3	MINUS	** 3	= 0	x 39 =	\$ 00.00		x 78 =	\$ 00.00
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM					+130 =	\$ 00.00		+ 260 =	\$ 00.00
					Total Addit. Fee	\$ 00.00	O r	TOTAL	\$ 162.00

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

- Please charge my Deposit Account No. 50-0740 in the amount of \$ \* referencing docket number \*. A duplicate copy of this sheet is attached.

xx Check number \* in the amount of \$1,002.00 is attached for: \$710 basic filing fee; \$162 for add'l claims fee; and \$130 late filing surcharge.

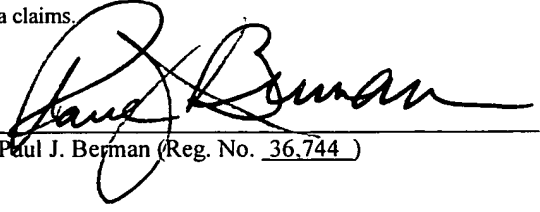
xx The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0740 referencing docket number 16762.093A.US02. A duplicate copy of this sheet is attached.

xx Any filing fees under 37 CFR § 1.16 for the presentation of extra claims.

xx Any patent application processing fees under 37 CFR § 1.17.

(December 3, 2000 = Sunday)

Date: Monday, December 4, 2000

  
Paul J. Berman (Reg. No. 36,744)